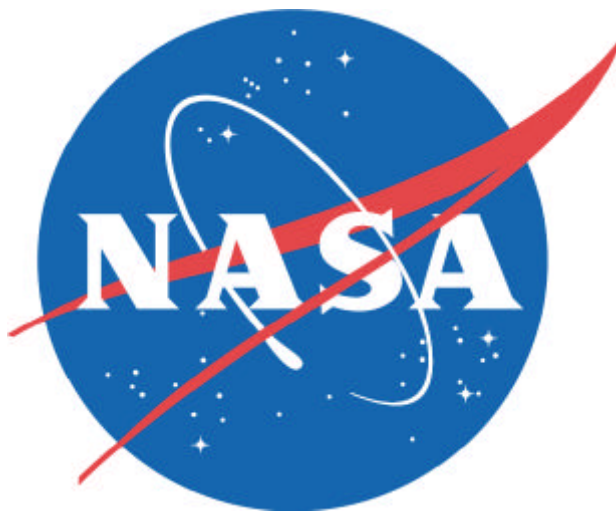


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]  
Research Program Management Division (Code SR)

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**Subject: Announcement of Opportunity (AO) for Science  
Flight Missions**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

**Announcement of Opportunity (AO)  
for Science Flight Missions**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (05/11/2001)  
Dr. Earle K. Huckins  
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]  
Research Program Management Division (Code SR)

## Subject: Announcement of Opportunity (AO) for Science Flight Missions

### DOCUMENT HISTORY LOG

| STATUS<br>(BASELINE/<br>REVISION/<br>CANCELED) | DOCUMENT<br>REVISION | EFFECTIVE<br>DATE | DESCRIPTION  |
|--|----------------------|-------------------|--|
| Baseline                                       |                      | 02/02/1999        | <ul style="list-style-type: none"><li>Initial "baseline" version of the OWI.</li></ul>   |
| Revision                                       | A                    | 05/10/1999        | <ul style="list-style-type: none"><li>Incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li></ul>   |
| Revision                                       | B                    | 11/16/1999        | <ul style="list-style-type: none"><li>Incorporates modifications from SSE Process Owner (e.g., NPG 7120.5 certification) into Section 5, Section 6, and Section 7.</li><li>Revises set of quality records in Section 5 and Section 7.</li><li>Revises quality-record information in Section 7.</li><li>Incorporates recent terminology and format standardization.</li></ul>   |
| Revision                                       | C                    | 05/11/2001        | <ul style="list-style-type: none"><li>Incorporates new entries and new title of HCP3410-4B into Section 4.</li><li>Incorporates url's for referenced documents into Section 4.</li><li>Incorporates linkage with HOWI7100-I003A "Support of NASA Research Opportunities" via addition of new steps in Section 5 and Section 6.</li><li>Indicates linkage of specific paragraphs of NASA FAR Supplements with steps in Section 5 and Section 6.</li><li>Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.</li></ul> |

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## **Subject: Announcement of Opportunity (AO) for Science Flight Missions**

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### **1. PURPOSE**

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAA's) of solicitations of investigations in the category of Announcements of Opportunity (AO's) and reviews and selects submitted proposals.

### **2. SCOPE AND APPLICABILITY**

- 2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAA's is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.
- 2.2 AO's solicit and competitively select basic research investigations characterized as having a well-defined purpose and end product (e.g., science investigations with hardware responsibility for a unique space-flight mission, a program of flight missions, or unique but large-cost non-flight programs). AO's can also be used for selection of a science team for a flight mission, with responsibility only for data analysis and mission operations.
- 2.3 Investigations selected via AO's can range in cost from a few hundred thousand dollars to several hundred million dollars.
- 2.4 The key features of the AO process are: (a) relative uniqueness of the opportunity, (b) the supporting budget is usually a unique line item authorized by Congress, and (c) it is both a program-planning system and an acquisition system in one procedure.
- 2.5 Education and public-outreach programs are required components of all proposals submitted in response to OSS AO's. Program scientists are responsible for ensuring that AO's contain appropriate education and public-outreach language.

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### **2. SCOPE AND APPLICABILITY *(concluded)***

- 2.6 AO's must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FAR's) and NASA FAR Supplements (NFS's).
- 2.7 AO's must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.
- 2.8 Proposals submitted in response to AO's are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.9 An OSS Designated Selecting Official selects qualified proposals of merit that satisfy the advertised program requirements and that can be accommodated within the available program budget.
- 2.10 The OSS Senior Science Program Executive for Review and Evaluation oversees the preparation, approval, and release of all OSS AO's.
- 2.11 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard Requests for Proposals (RFP's) are not used to solicit OSS research proposals.

### **3. DEFINITIONS**

- 3.1 Announcement of Opportunity (AO). A specific research opportunity for which relatively well-defined science investigations are solicited, usually in association with a specific NASA space mission that may (but does not always) involve the provision and operation of experiment hardware and that is typically funded by a unique Federal budget appropriation.
- 3.2 Categorization. The process whereby proposed investigations are classified into four categories: (a) Category I = recommended for immediate acceptance; (b) Category II = recommended for acceptance but at a lower priority than Category I proposals; (c) Category III = sound investigations requiring further development; and (d) Category IV = rejected.

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## **Subject: Announcement of Opportunity (AO) for Science Flight Missions**

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### **3. DEFINITIONS *(continued)***

- 3.3 Categorization Subcommittee. Subcommittee of the Space Science Steering Committee (*see below*) consisting of civil servants having expertise in relevant disciplines empowered to categorize proposals for investigations submitted in response to an AO per NASA FAR Supplement Part 1872.403-1.
- 3.4 Code GK. Associate General Counsel for Contracts in the NASA Headquarters Office of the General Counsel.
- 3.5 Code HS. Program Operations Division of the NASA Headquarters Office of Procurement.
- 3.6 Code IS. Space Science and Aeronautics Division of the NASA Headquarters Office of External Relations.
- 3.7 Code S. NASA Headquarters Office of Space Science.
- 3.8 Code SR. Research Program Management Division of the NASA Headquarters Office of Space Science.
- 3.9 Non-conflicted reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with AO proposers or their institutions.
- 3.10 Notice of Intent. A notice submitted by a potential investigator indicating the intent to submit a proposal in response to an AO.
- 3.11 NPRS. NASA (Headquarters) Peer Review Services (contractor).
- 3.12 OSS. NASA Headquarters Office of Space Science.
- 3.13 Peer Review. The process of proposal review utilizing a group of the proposers' peers (by mail and/or meeting in panel), in accordance with the evaluation criteria stated in an AO.

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## Subject: Announcement of Opportunity (AO) for Science Flight Missions

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### 3. DEFINITIONS *(concluded)*

- 3.14 Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal program documents; providing science leadership for the program; and assessing science performance.
- 3.15 Space Science Steering Committee (SSSC). The panel of civil servants appointed by the Associate Administrator for Space Science in accordance with NASA FAR Supplement Part 1872.406 that is empowered to review all documentation and processes leading to a recommendation for selection of proposals submitted in response to an AO.
- 3.16 TMCO. The series of Technical, Management, Cost, and Outreach evaluation factors against which proposals are graded (in addition to their scientific merit).

### 4. REFERENCES

- 4.1 ANSI/ISO/ASQC Q9001-1994  
American National Standard, Quality Systems -- Model for  
Quality Assurance in Design, Development, Production,  
Installation, and Servicing
- 4.2 HCP1280-2  
Corrective and Preventive Action  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1280-2.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html)]
- 4.3 HCP1280-3  
Internal Quality Audits  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1280-3.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html)]
- 4.4 HCP1400-1  
Document and Data Control  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP1400-1.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html)]

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### 4. REFERENCES *(continued)*

- 4.5 HCP3410-4 Quality System Training  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HCP3410-4.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html)]
- 4.6 HOWI7100-I003 Support of NASA Research Opportunities  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HOWI7100-I003.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HOWI7100-I003.html)]
- 4.7 HQPC1150.1 NASA Headquarters Quality Council Policy Charter  
[<http://nodis.gsfc.nasa.gov/Library/Directives/HQ/>]
- 4.8 HQSM1200-1 NASA Headquarters Quality System Manual  
[[http://www.hq.nasa.gov/hqiso9000/library/iso9000\\_detail\\_HQSM1200-1.html](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html)]
- 4.9 NFS 1835 NASA FAR Supplement "Research and Development Contracting"  
[<http://www.hq.nasa.gov/office/procurement/regs/1835.htm>]
- 4.10 NFS 1872 NASA FAR Supplement "Acquisitions of Investigations"  
[<http://www.hq.nasa.gov/office/procurement/regs/1872.htm>]
- 4.11 NPD 1000.1 NASA Strategic Plan  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)]
- 4.12 NPD 1360.2 Initiation and Development of International Cooperation in Space and Aeronautics Programs  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)]
- 4.13 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=8\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8___)]
- 4.14 NPG 1000.2 NASA Strategic Management Handbook  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)]
- 4.15 NPG 1000.3 The NASA Organization  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)]



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### **4. REFERENCES *(concluded)***

4.16 NPG 1441.1 NASA Records Retention Schedules (NRRS)  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=1\\_\\_\\_](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)]

4.17 NASA Budget

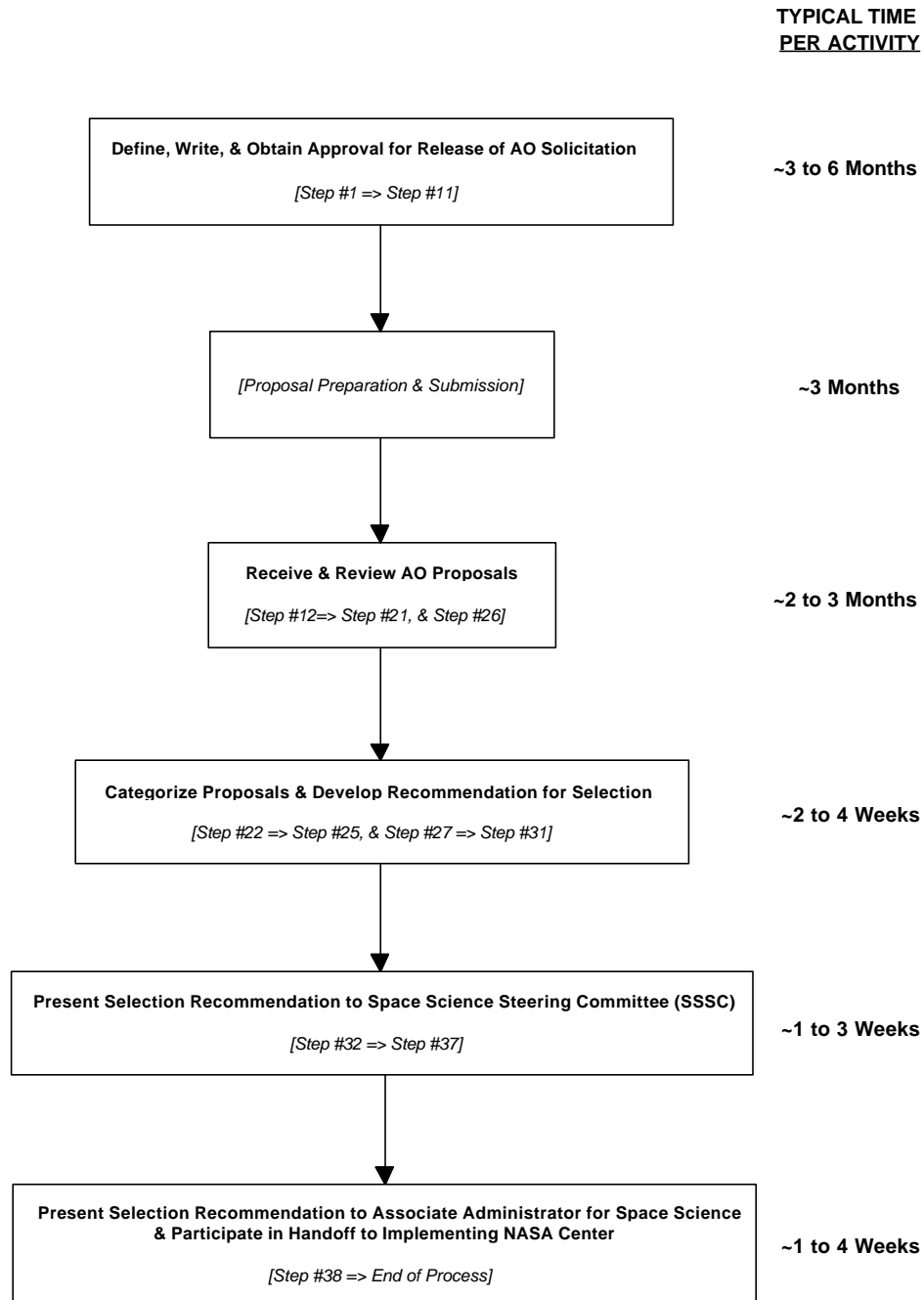
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### 5. FLOWCHART

#### 5.1 Overview Flowchart



**TOTAL: ~9 to 15 Months**

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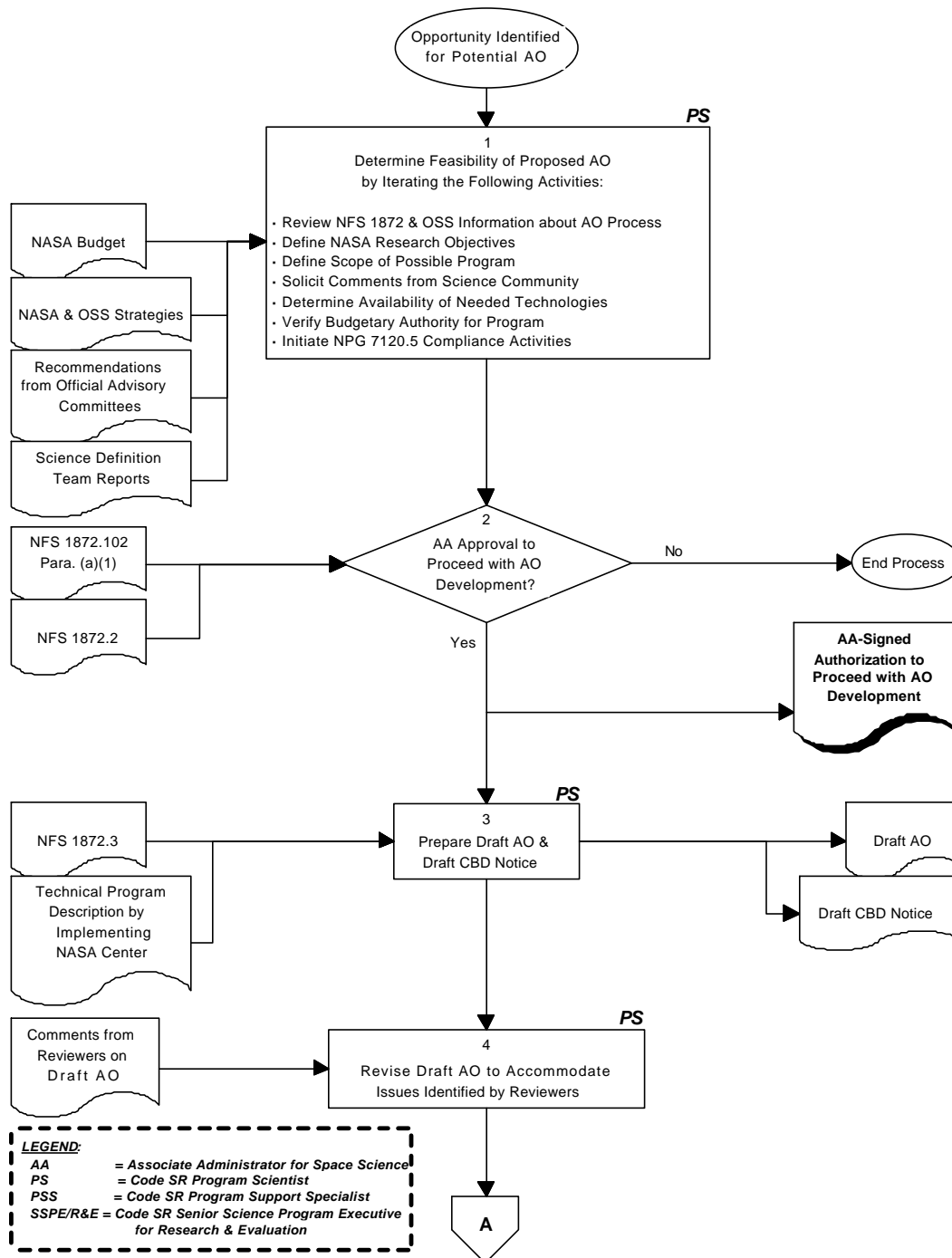
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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses)

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]

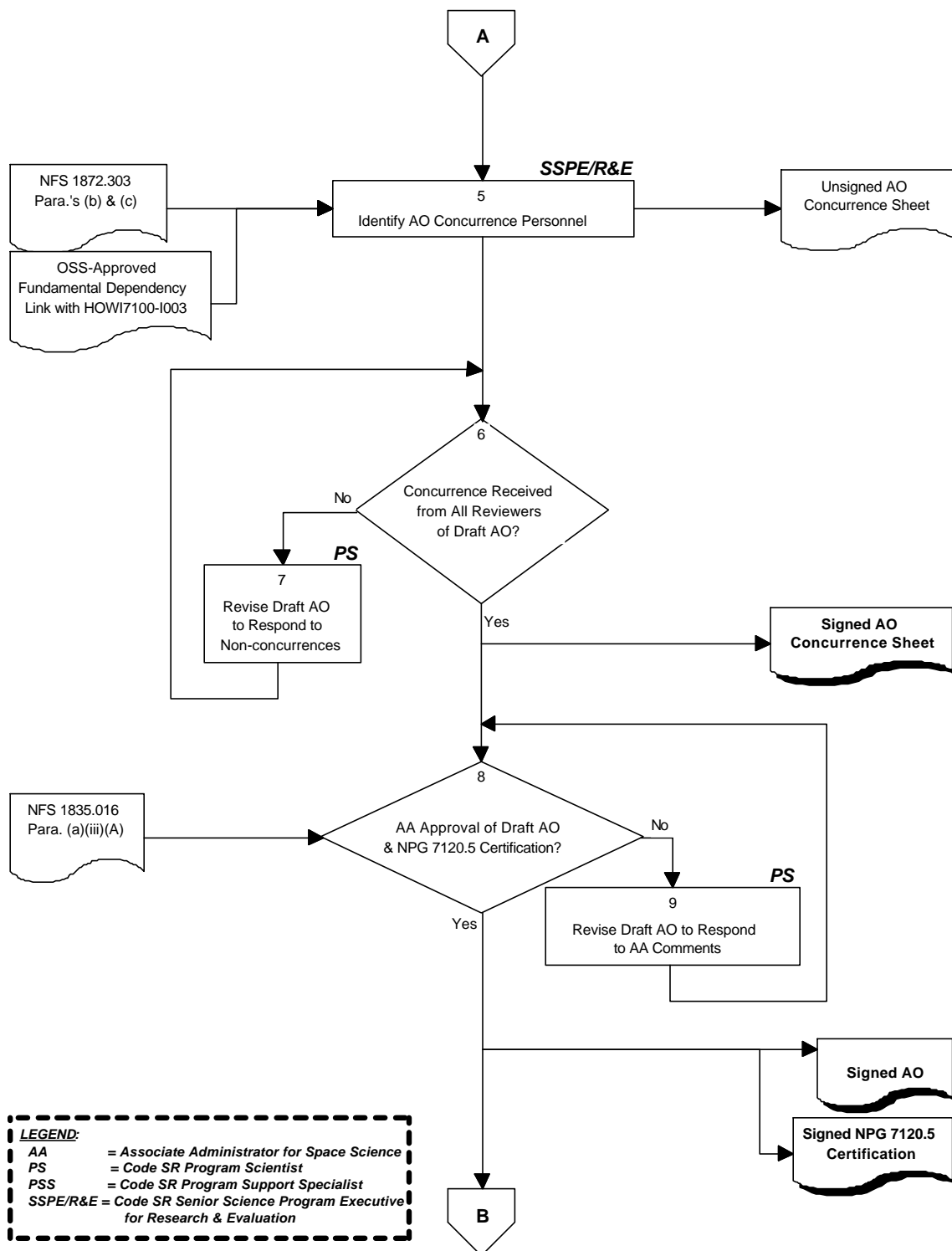


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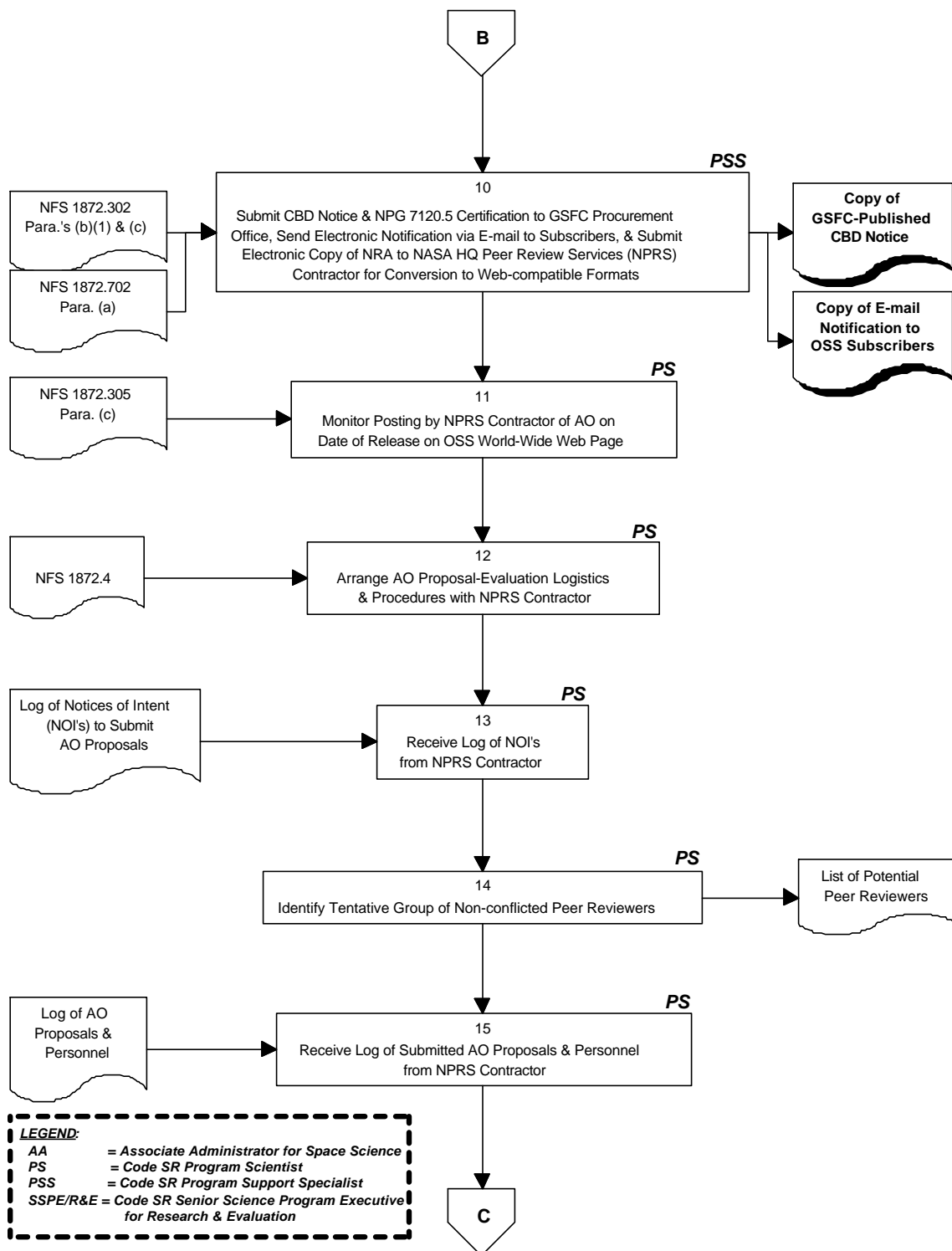
### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)



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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)

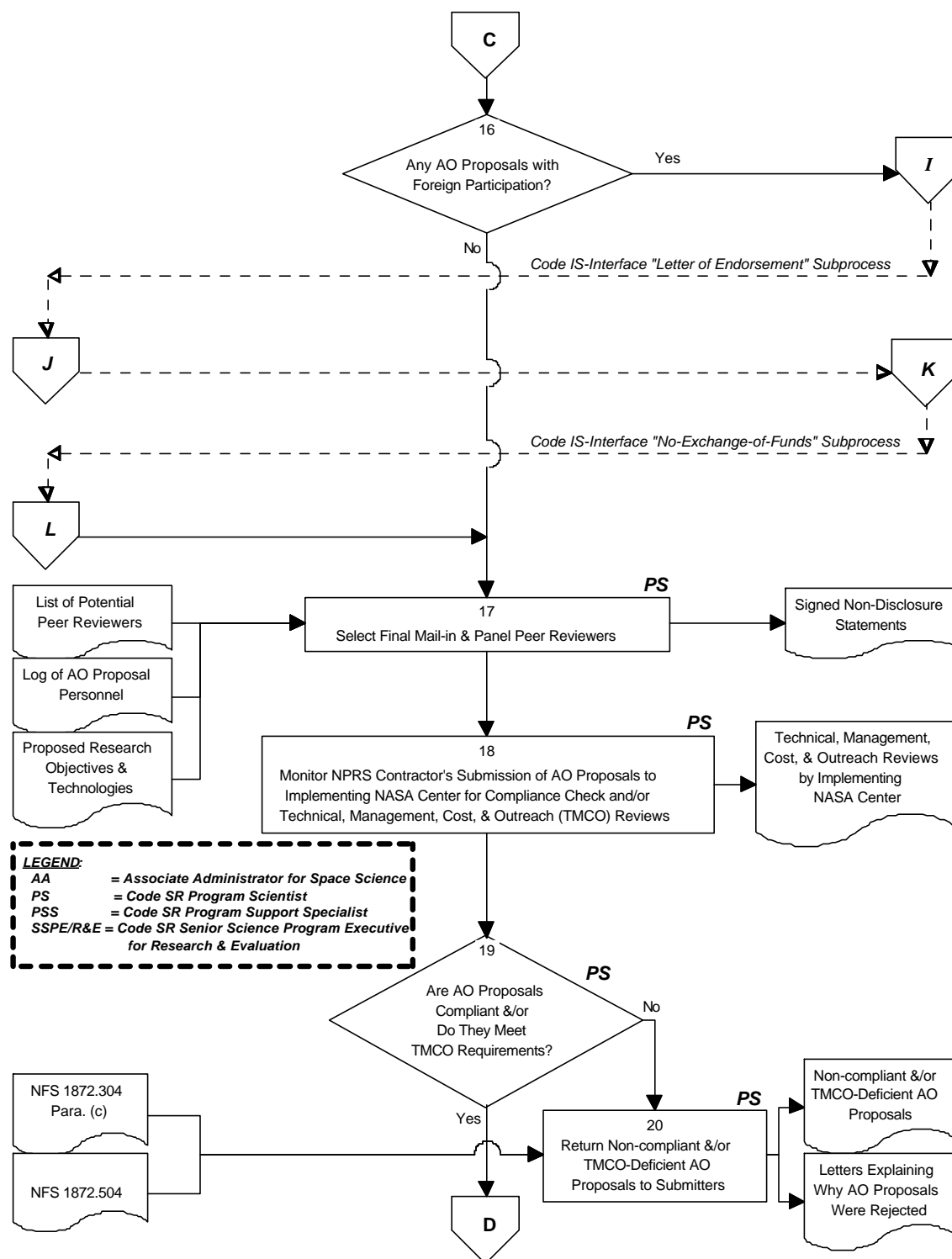


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)

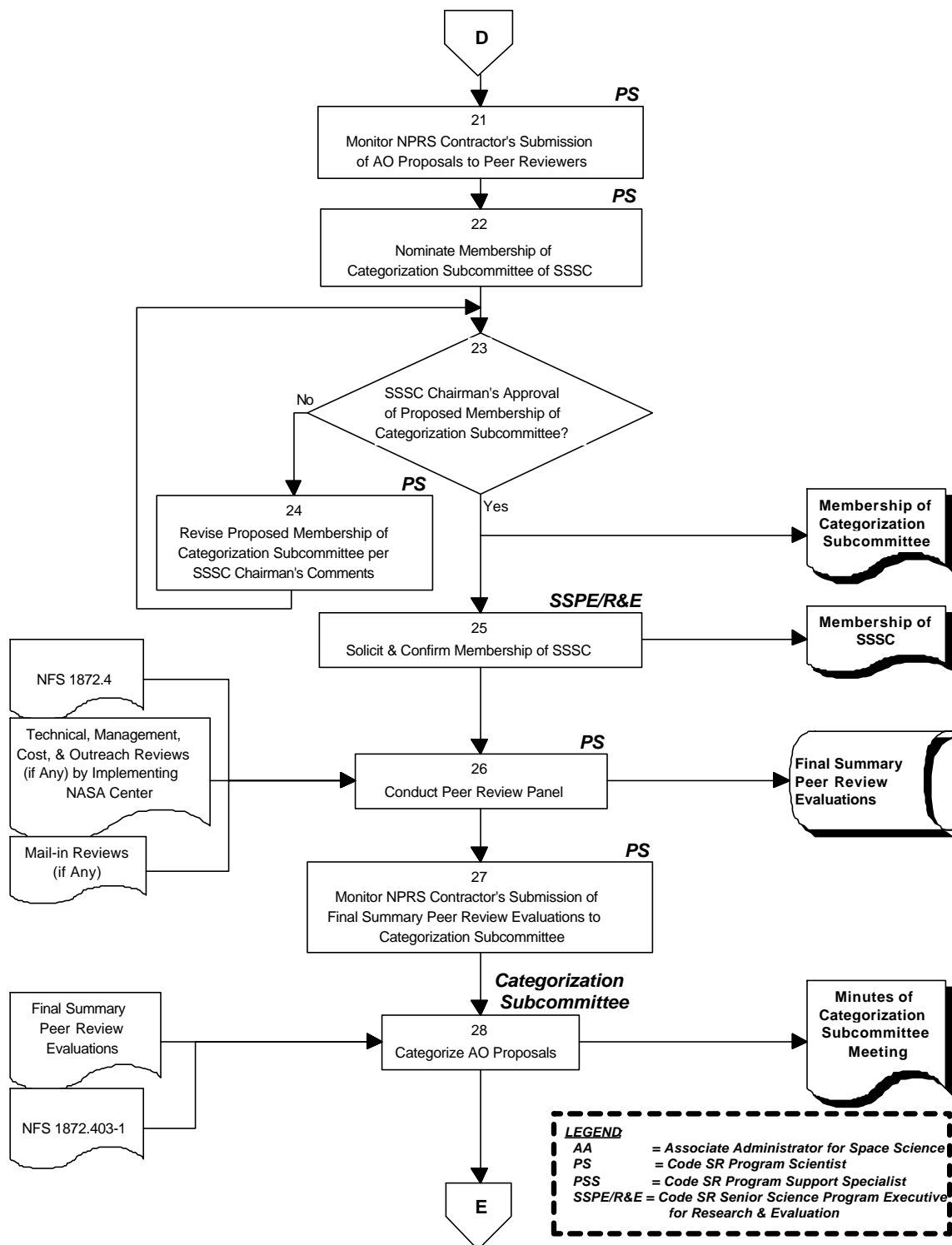


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)

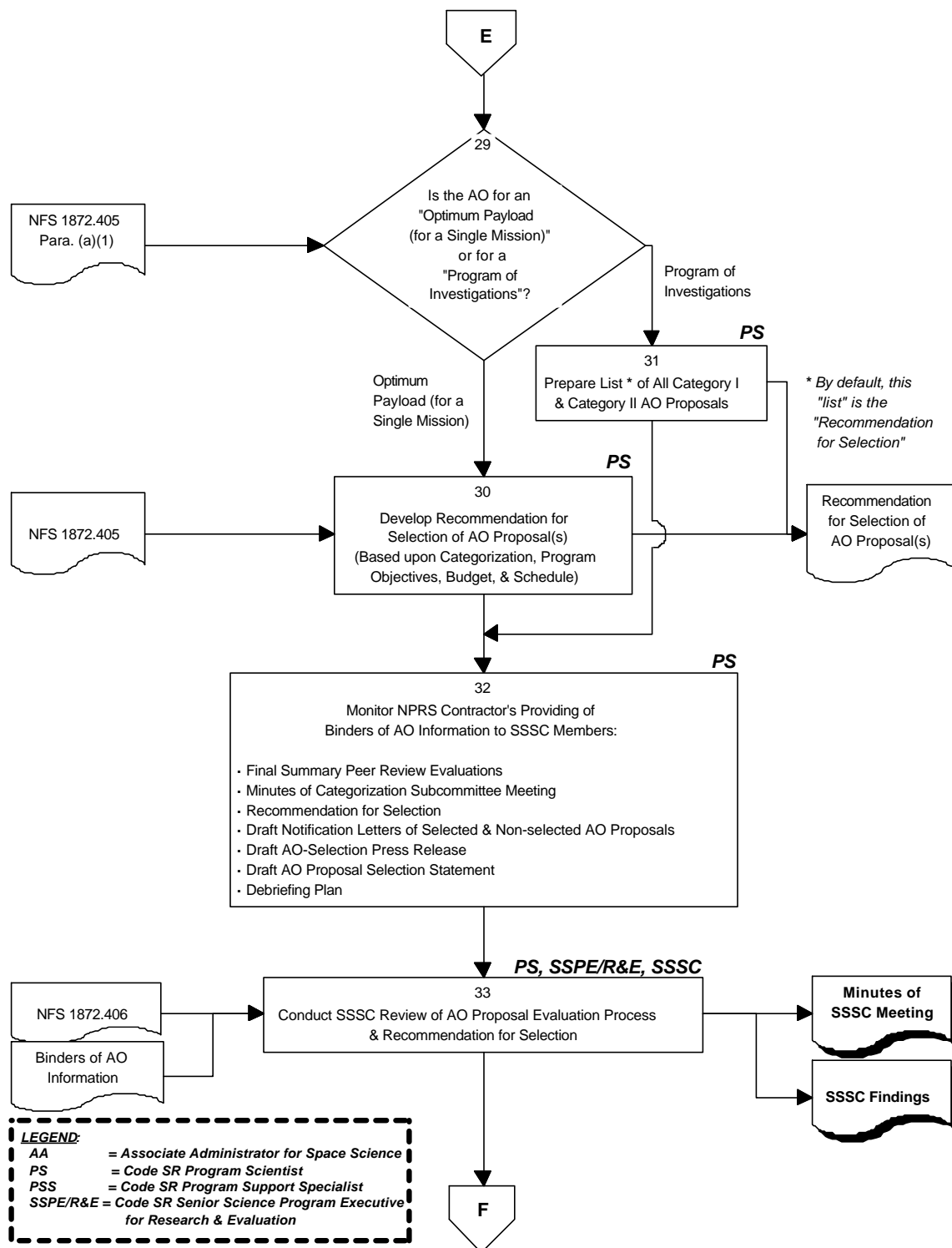


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)



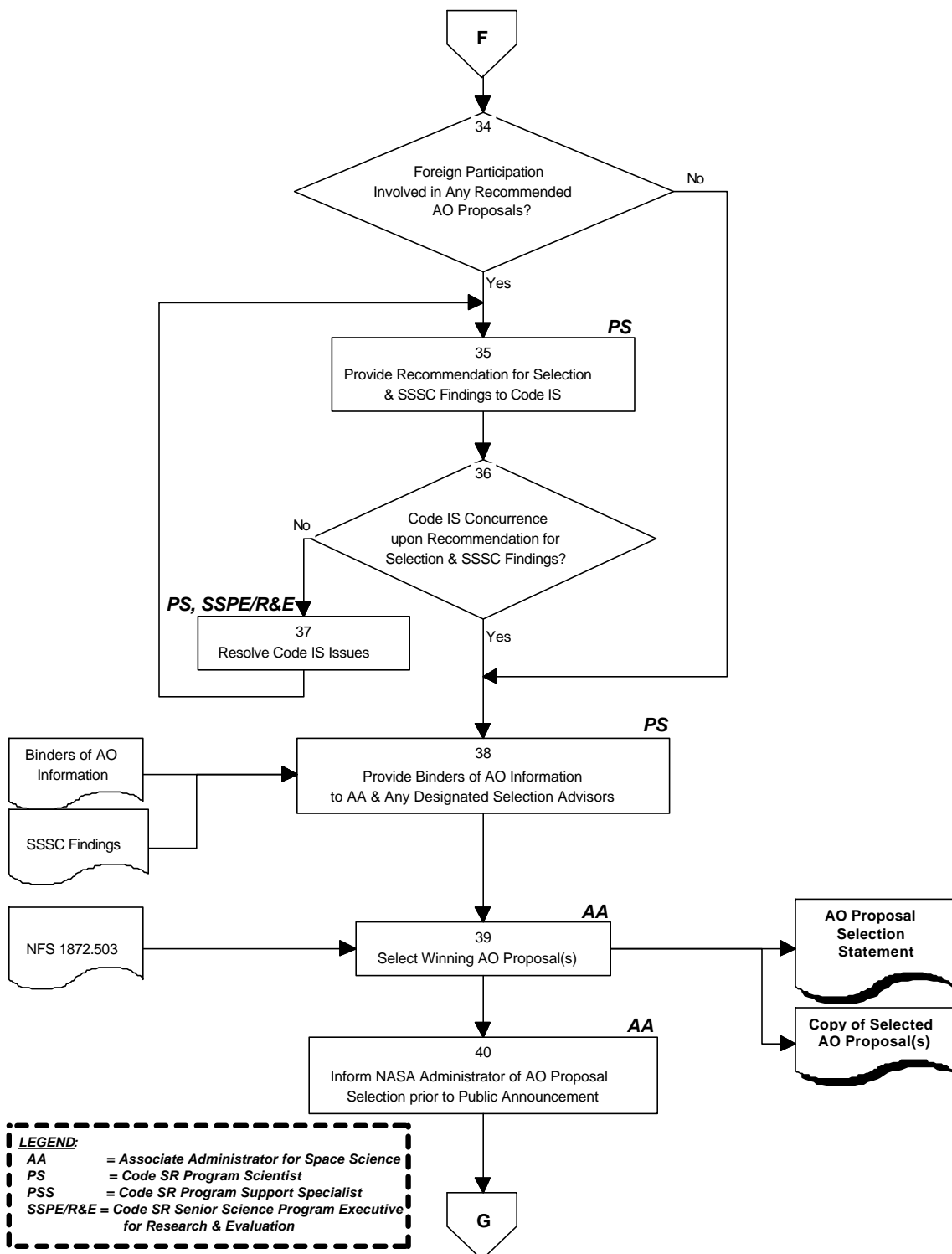


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)

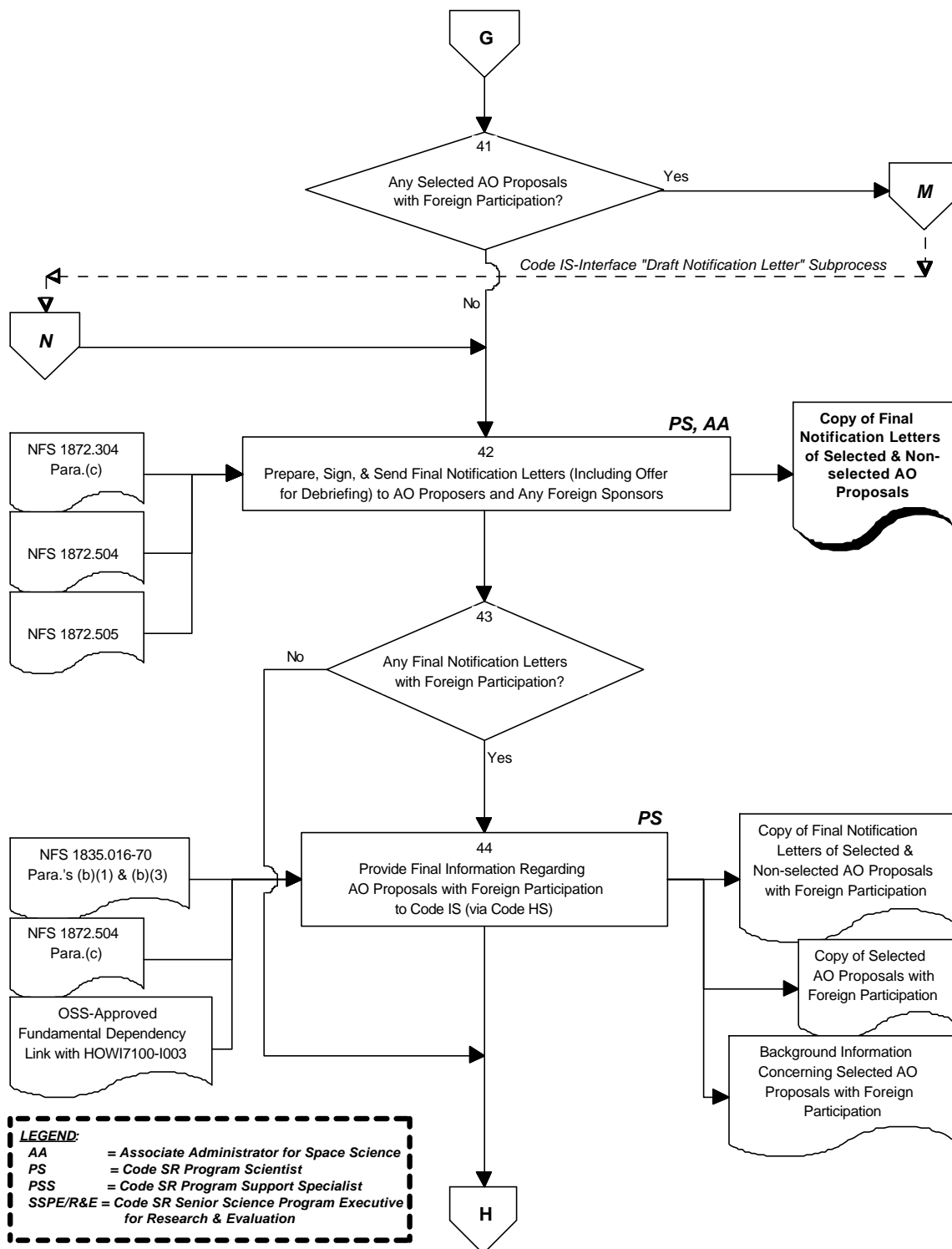


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (continued)

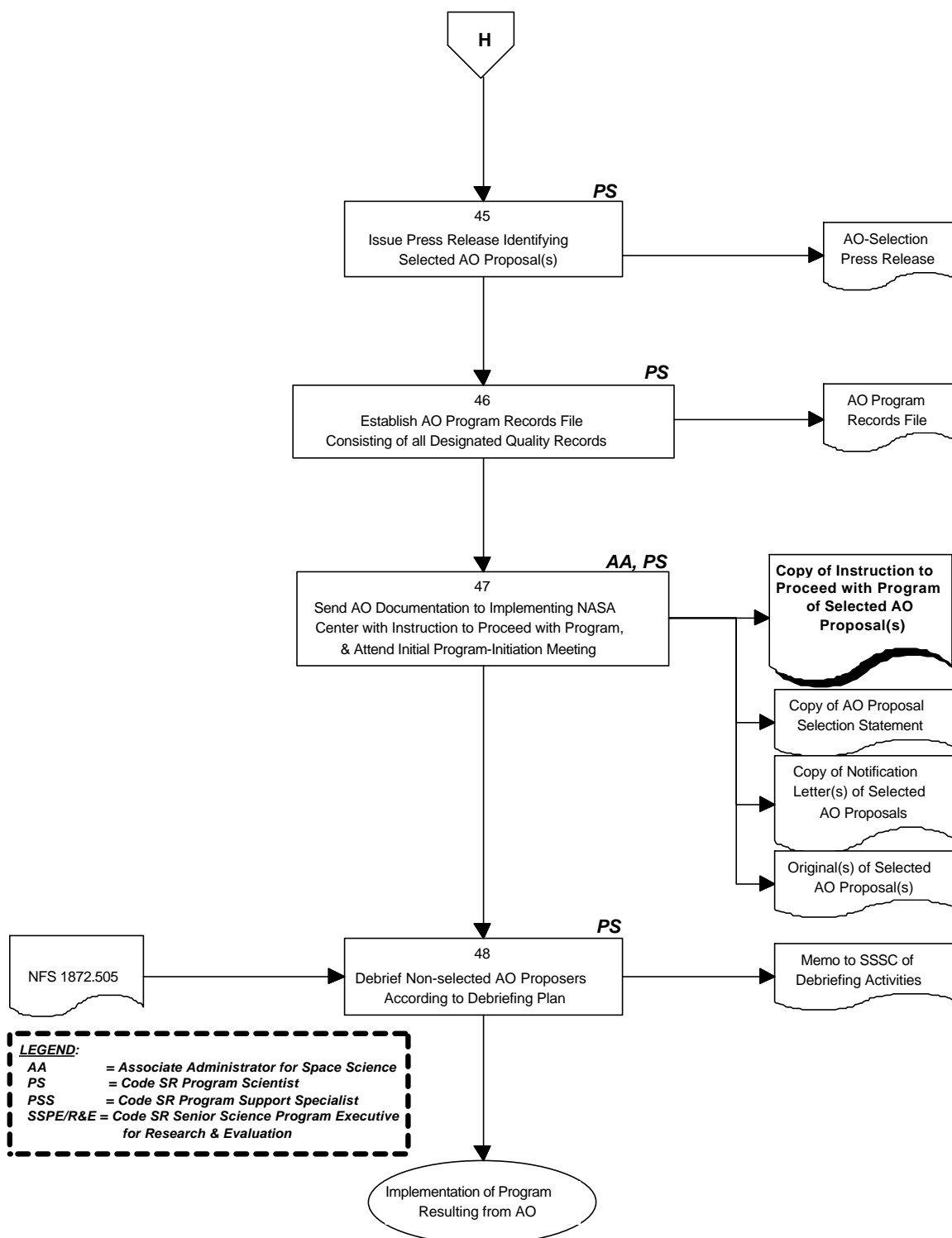


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### 5.2 Nominal Flowchart (without Code IS-interface subprocesses) (concluded)

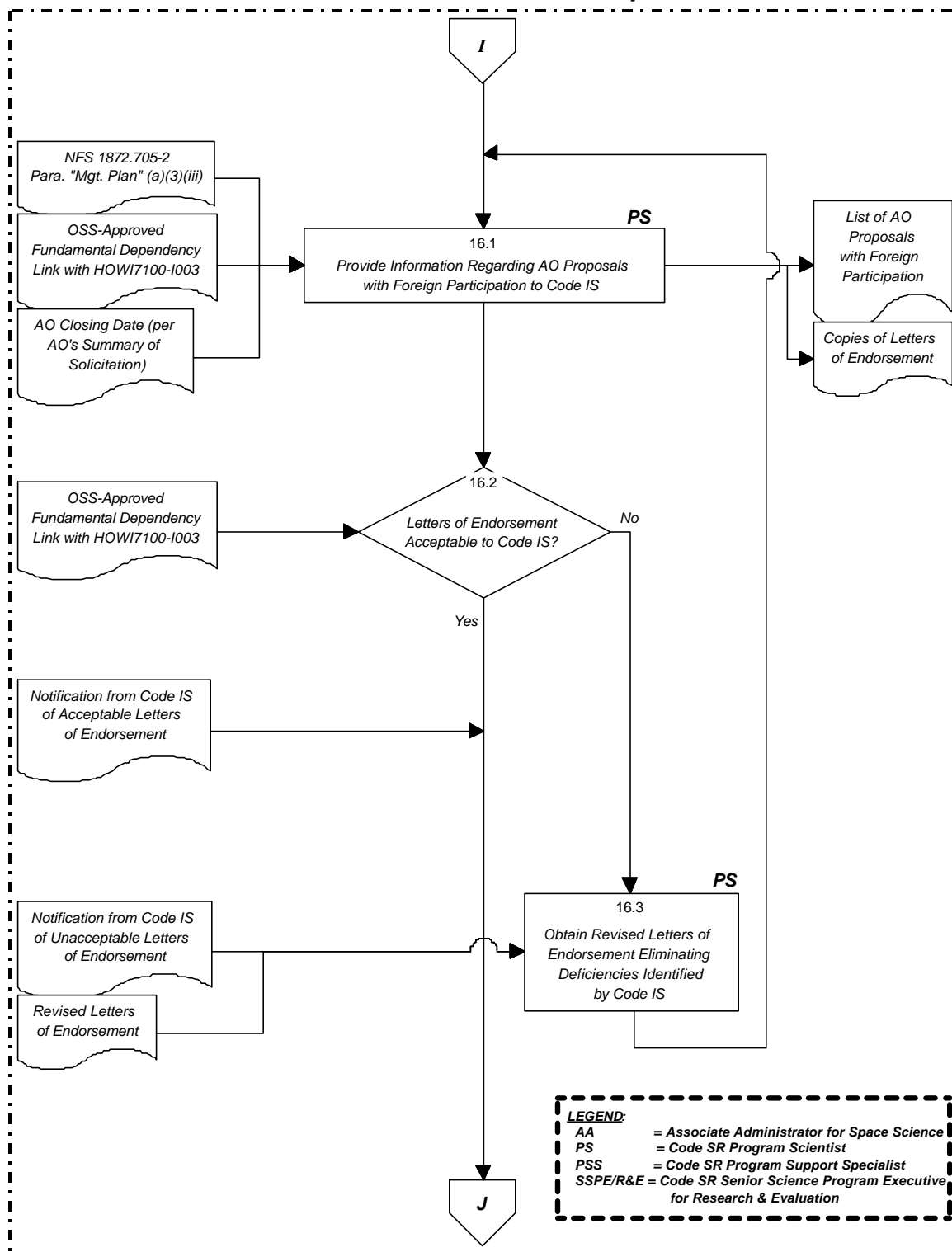


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### 5.3 Code IS-Interface "Letter of Endorsement" Subprocess Flowchart

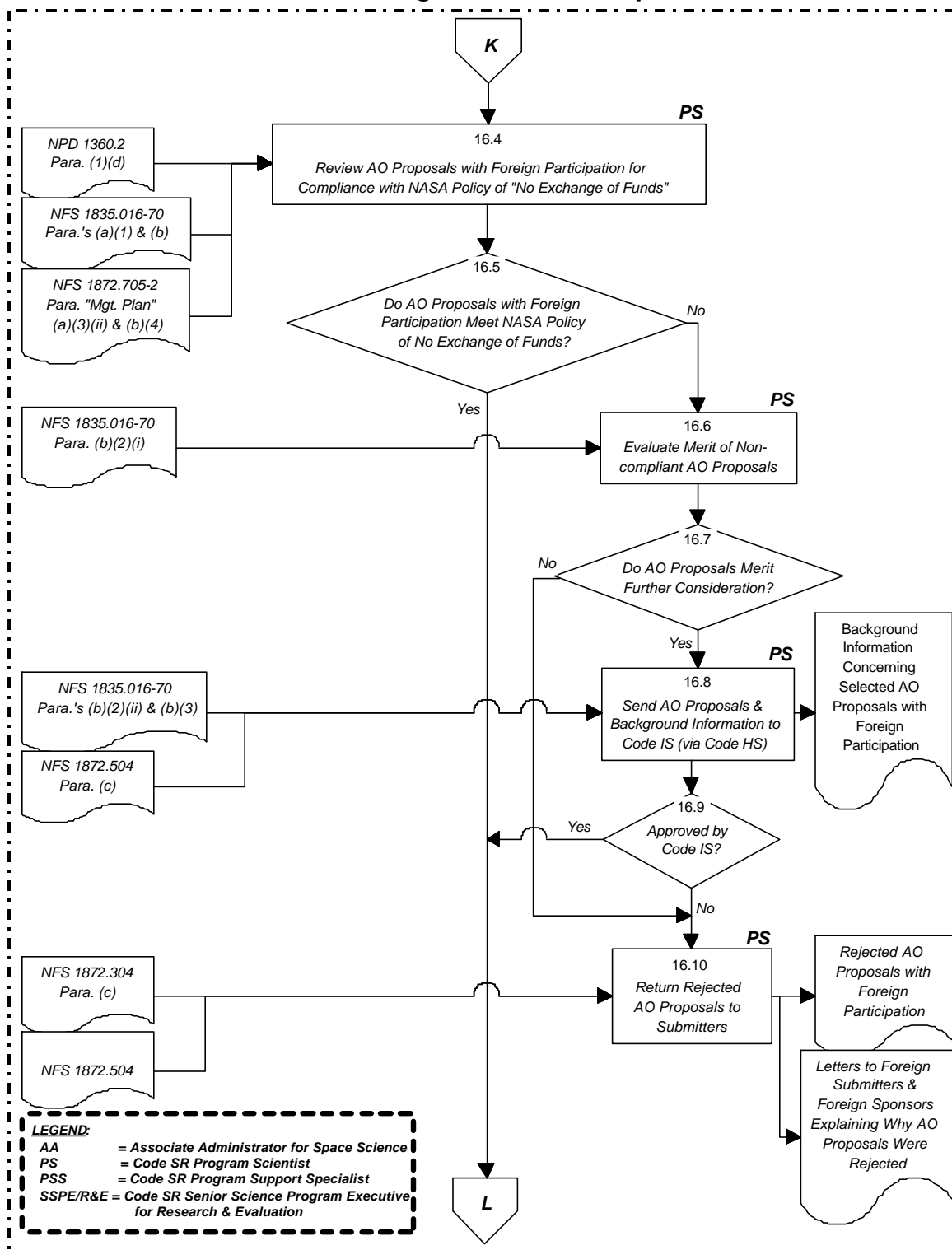


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### 5.4 Code IS-Interface "No-Exchange-of-Funds" Subprocess Flowchart

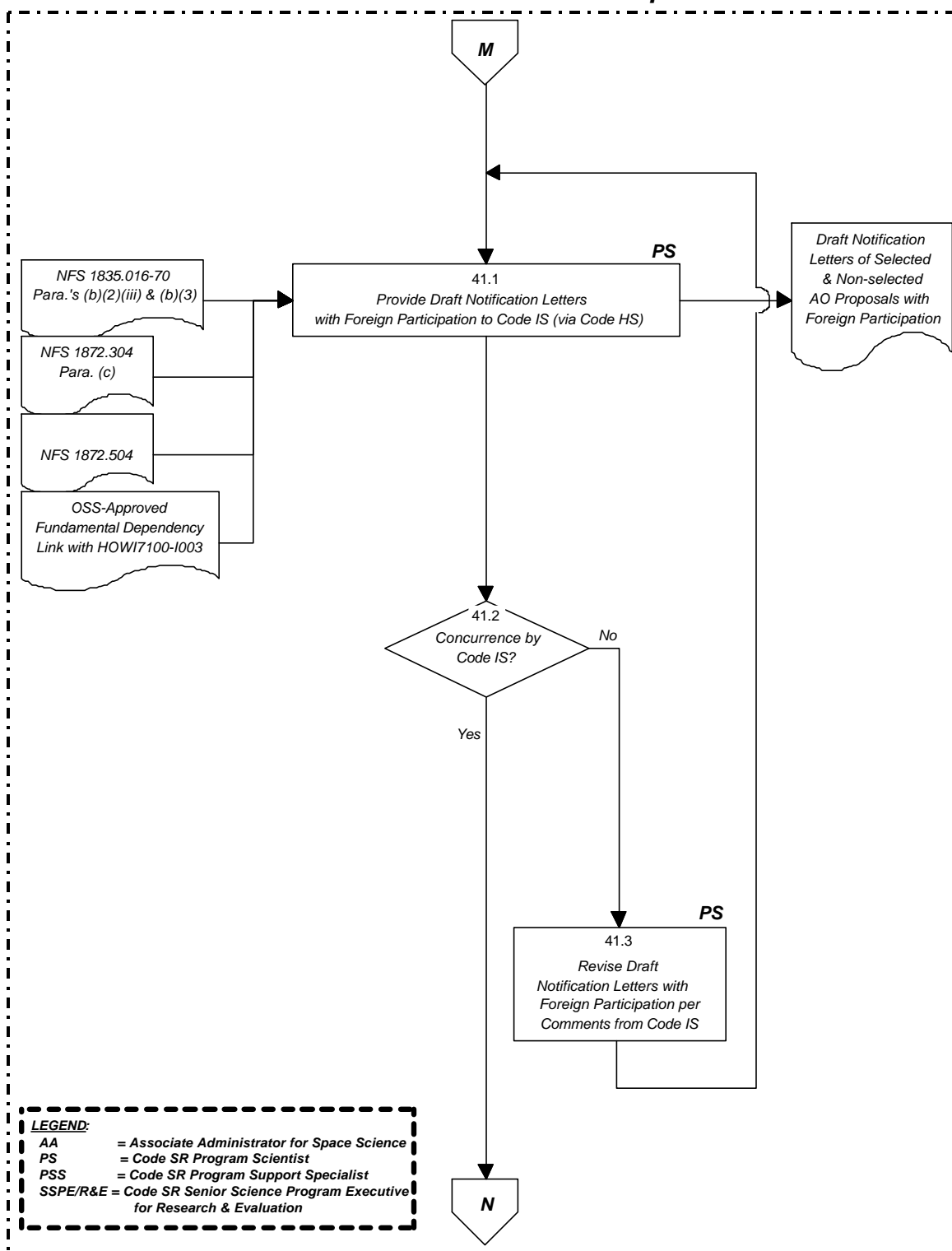


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### 5.5 Code IS-Interface "Draft Notification Letter" Subprocess Flowchart



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### 6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u>  |
|---------------|----------------------------|---|
|               |                            | <i>This process is initiated when an opportunity is identified for potential creation of a new AO.</i>  |
| 1             | Program Scientist          | Determine the feasibility of a proposed AO by iterating the following activities: <ul style="list-style-type: none"><li>• Review NASA FAR Supplement Part 1872 &amp; OSS information about the AO process</li><li>• Define NASA research objectives</li><li>• Define the scope of a possible program</li><li>• Solicit comments from the science community</li><li>• Determine the availability of needed technologies</li><li>• Verify budgetary authority for the program</li><li>• Initiate NPG 7120.5 compliance activities</li></ul> <p>[NOTE: These activities occur in parallel in an iterative manner.]</p> |
| 2             |                            | In accordance with NASA FAR Supplement Part 1872.102 [paragraph (a)(1)] and NASA FAR Supplement Part 1872.2, if the Associate Administrator for Space Science signs the authorization to proceed with development of the AO (which is created by the Program Scientist) and designates the cognizant Program Scientist, proceed to Step #3. If authority to proceed is denied, end the process.   |
| 3             | Program Scientist          | In accordance with NASA FAR Supplement Part 1872.3 and the technical program description submitted by the implementing NASA Center, prepare the draft AO and the draft notice summarizing the purpose and content of the AO for publication via the <i>Commerce Business Daily</i> (CBD).   |

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### **6. PROCEDURE *(continued)***

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>                                 | <u>DESCRIPTION</u>  |
|---------------|--|---|
| 4             | Program Scientist  | In accordance with the content of the draft AO, solicit comments and recommendations from cognizant personnel within Code S (at a minimum, the Senior Science Program Executive for Review and Evaluation), Code IS, Code HS, and Code GK. Revise the draft AO to incorporate the results of this review.   |
| 5             | Senior Science Program Executive for Review and Evaluation | In accordance with NASA FAR Supplement Part 1872.303 [paragraphs (b) and (c)] and an OSS-approved fundamental-dependency link with HOWI7100-I003, select NASA Headquarters personnel to review the draft AO in accordance with the subject matter of the AO (i.e., cognizant OSS personnel plus, at a minimum, Code IS, Code HS, and Code GK). Create an AO Concurrence Sheet to document the results of this review. Provide the draft AO to each reviewer identified on the AO Concurrence Sheet. |
| 6             |  | If all reviewers of the draft AO have concurred upon it and have signed the AO Concurrence Sheet, proceed to Step #8. If any reviewer has non-concurred upon the draft AO, proceed to Step #7.  |
| 7             | Program Scientist  | Revise the draft AO to address the issues identified via any non-concurrences received, and repeat the review cycle at Step #6.   |
| 8             |  | If the Associate Administrator for Space Science approves and signs the AO and the NPG 7120.5 Certification document (in accordance with NASA FAR Supplement Part 1835.016 [paragraph (a)(iii)(A)], proceed to Step #10. If not, proceed to Step #9.  |



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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>            | <u>DESCRIPTION</u>   |
|---------------|---------------------------------------|--|
| 9             | Program Scientist                     | Revise the draft AO in accordance with the comments provided by the Associate Administrator for Space Science, and repeat the review cycle at Step #8.   |
| 10            | Code SR<br>Program Support Specialist | In accordance with NASA FAR Supplement Part 1872.302 [paragraphs (b)(1) and (c)] and NASA FAR Supplement Part 1872.702 [paragraph (a)], send the <i>Commerce Business Daily</i> (CBD) Notice and the NPG 7120.5 Certification document to the Goddard Space Flight Center (GSFC) Procurement Office, which then publicly announces the forthcoming AO via the CBD at least fifteen calendar days prior to formal release of the AO. Send the notice through the OSS Electronic Notification System to all subscribers. Submit an electronic copy of the AO to the NASA Headquarters Peer Review Services (NPRS) Contractor for conversion into Web-compatible formats. |
| 11            | Program Scientist                     | The NPRS Contractor posts the AO on its advertised date of release on the OSS World-Wide Web home page. The Program Scientist verifies compliance with this requirement and notifies the NPRS Contractor to correct any instances of noncompliance. This activity satisfies the requirements of NASA FAR Supplement Part 1872.305 [paragraph (c)].   |
| 12            | Program Scientist                     | Arrange with the NPRS Contractor the AO proposal-evaluation logistics and procedures (at a minimum, the timeline for activities, format of the peer-review forms, use of mail-in reviews, and details of logistics for the peer-review panels) in accordance with NASA FAR Supplement Part 1872.4.   |

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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u>  |
|---------------|----------------------------|---|
| 13            | Program Scientist          | Receive from the NPRS Contractor a log of Notices of Intent (NOI's) to submit AO proposals. OSS requests all interested proposers to submit NOI's. Although these NOI's are not mandatory, they facilitate OSS selection of non-conflicted peer reviewers of submitted proposals. |
| 14            | Program Scientist          | Prepare a list of a tentative group of non-conflicted Peer Reviewers of proposals that are expected to be submitted in response to the AO, based upon NOI's and upon research areas expected in proposals.  |
| 15            | Program Scientist          | Receive from the NPRS Contractor a log of all submitted AO proposals and associated personnel.  |
| 16            |                            | If any of the AO proposals involve foreign participation, proceed to Step #16.1. If not, proceed to Step #17.   |

#### **Code IS-Interface "Letter of Endorsement" Subprocess**

|      |                   |   |
|------|-------------------|---|
| 16.1 | Program Scientist | <i>In accordance with an OSS-approved fundamental-dependency link with HOWI7100-I003, provide a list of all AO proposals with foreign participation and copies of the associated Letters of Endorsement (see NASA FAR Supplement Part 1872.705-2 [paragraph "Management Plan" (a)(3)(iii)]) to Code IS after the closing date of the AO (as specified in the AO's Summary of Solicitation).</i> |
| 16.2 |                   | <i>If Code IS notifies the OSS Program Scientist that the Letters of Endorsement are acceptable, proceed to Step #16.4. If Code IS notifies the OSS Program Scientist that one or more of the Letters of Endorsement are unacceptable (in accordance with an OSS-approved fundamental-dependency link with HOWI7100-I003), proceed to Step #16.3.</i>   |

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## Subject: Announcement of Opportunity (AO) for Science Flight Missions

### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u> |
|---------------|----------------------------|--------------------|
|---------------|----------------------------|--------------------|

#### **Code IS-Interface "Letter of Endorsement" Subprocess (concluded)**

|      |                   |  |
|------|-------------------|--|
| 16.3 | Program Scientist | Contact the foreign-sponsor author of each Letter of Endorsement that is unacceptable to Code IS, negotiate receipt by OSS of a revised Letter of Endorsement that eliminates the deficiency(ies) identified by Code IS, and resubmit the revised Letter of Endorsement for review by Code IS at Step #16.1. |
|------|-------------------|--|

#### **Code IS-Interface "No-Exchange-of-Funds" Subprocess**

|      |                   |   |
|------|-------------------|---|
| 16.4 | Program Scientist | Review the AO proposals with foreign participation with respect to the NASA policy of "no exchange of funds" as stated in NPD 1360.2 [paragraph (1)(d)], NASA FAR Supplement Part 1835.016-70 [paragraphs (a)(1) and (b)], and NASA FAR Supplement Part 1872.705-2 [paragraph "Management Plan" (a)(3)(ii) and (b)(4)]. |
| 16.5 |                   | If an AO proposal with foreign participation meets the NASA policy of "no exchange of funds", proceed to Step #17. If not, proceed to Step #16.6.   |
| 16.6 | Program Scientist | In accordance with NASA FAR Supplement Part 1835.016-70 [paragraph (b)(2)(i)], evaluate whether AO proposals with foreign participation that do not meet the NASA policy of "no exchange of funds" merit further consideration.   |
| 16.7 |                   | If a non-compliant AO proposal with foreign participation merits further consideration, proceed to Step #16.8; if not, proceed to Step #16.10.  |

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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u> |
|---------------|----------------------------|--------------------|
|---------------|----------------------------|--------------------|

#### **Code IS-Interface “No-Exchange-of-Funds” Subprocess (concluded)**

|      |                   |   |
|------|-------------------|---|
| 16.8 | Program Scientist | <i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(ii) and (b)(3)], send to Code IS (via Code HS) for review: (a) AO proposals with foreign participation that do not currently meet the NASA policy of “no exchange of funds” but nevertheless merit further consideration, and (b) background information (as specified by NASA FAR Supplement Part 1872.504 [paragraph (c)]) concerning the selected AO proposals with foreign participation.</i> |
|------|-------------------|---|

|      |  |  |
|------|--|--|
| 16.9 |  | <i>If an AO proposal is approved by Code IS as being worthy of further consideration in spite of its not currently meeting the NASA policy of “no exchange of funds”, proceed to Step #17. If not, proceed to Step #16.10.</i> |
|------|--|--|

|       |                   |   |
|-------|-------------------|---|
| 16.10 | Program Scientist | <i>In accordance with NASA FAR Supplement Part 1872.304 [paragraph (c)] and NASA FAR Supplement Part 1872.504, return rejected AO proposals with foreign participation to their submitters, with letters explaining why the proposals are unacceptable. Send copies of the rejection letters to the cognizant foreign sponsors.</i> |
|-------|-------------------|---|

|    |                   |   |
|----|-------------------|---|
| 17 | Program Scientist | Select the final mail-in reviewers and Peer Review panel members, based upon the list of potential Peer Reviewers created at Step #14, the log of AO proposal personnel, and the proposed research objectives and technologies. Obtain a signed Non-Disclosure Statement from each selected reviewer. |
|----|-------------------|---|

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## Subject: Announcement of Opportunity (AO) for Science Flight Missions

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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u>   |
|---------------|----------------------------|--|
| 18            | Program Scientist          | In accordance with the content of the received AO proposals, monitor the NPRS Contractor's activity of sending the proposals to the implementing NASA Center to check on their compliance with requirements stated in the AO and/or to conduct TMCO reviews of the proposals.  |
| 19            | Program Scientist          | Based upon the results of the activity in Step #18, if the Program Scientist determines that an AO proposal is not compliant with the requirements stated in the AO or that it does not meet TMCO requirements, proceed to Step #20. For compliant and non-deficient AO proposals, proceed to Step #21.  |
| 20            | Program Scientist          | In accordance with NASA FAR Supplement Part 1872.304 [paragraph (c)] and NASA FAR Supplement Part 1872.504, return non-compliant and/or TMCO-deficient AO proposals to their submitters, with letters explaining why the proposals are unacceptable. If a non-compliant or deficient AO proposal involves foreign participation, send a copy of the rejection letter to the cognizant foreign sponsor. |
| 21            | Program Scientist          | Monitor the NPRS Contractor's activity of sending copies of AO proposals to selected Peer Reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via postal or electronic mail. Other reviewers will participate in an "on-site" Peer Review Panel.   |
| 22            | Program Scientist          | Submit a proposed membership of the Categorization Subcommittee of the Space Science Steering Committee (SSSC) to the Chairman of the SSSC.  |
| 23            |                            | If the Chairman of the SSSC approves the proposed membership of the Categorization Subcommittee, proceed to Step #25. If not, proceed to Step #24.   |

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## Subject: Announcement of Opportunity (AO) for Science Flight Missions

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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>                                 | <u>DESCRIPTION</u>  |
|---------------|--|---|
| 24            | Program Scientist  | Revise the proposed membership of the Categorization Subcommittee to address the issues identified by the Chairman of the SSSC, and repeat the review cycle at Step #23.  |
| 25            | Senior Science Program Executive for Review and Evaluation | Solicit and confirm the membership of the SSSC.   |
| 26            | Program Scientist  | In accordance with NASA FAR Supplement Part 1872.4 and the AO proposal-evaluation logistics and procedures generated at Step #12, conduct the Peer Review Panel to review and evaluate each AO proposal. Any TMCO review inputs (generated in Step #18) from the implementing NASA Center are examined by the Peer Review Panel. The Panel incorporates the inputs submitted from any mail-in reviewers into a set of final summary peer-review evaluations for the proposals. These evaluations are entered into the NASA Headquarters SYS-EYFUS electronic database by the NPRS Contractor. |
| 27            | Program Scientist  | Not later than five calendar days prior to the Categorization Subcommittee meeting, the Program Scientist ensures that the NPRS Contractor provides the final summary peer review evaluations to the subcommittee members.  |
| 28            | Categorization Subcommittee                                | In accordance with NASA FAR Supplement Part 1872.403-1, meet to categorize the AO proposals, based upon the final summary peer-review evaluations generated at Step #26. The quorum for a Categorization Subcommittee meeting is established by OSS to be five members, including the Chairperson.  |

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## Subject: Announcement of Opportunity (AO) for Science Flight Missions

### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u>  |
|---------------|----------------------------|---|
| 29            |                            | In accordance with NASA FAR Supplement Part 1872.405 [paragraph (a)(1)], if the AO has been issued regarding an "optimum payload (for a single mission)", proceed to Step #30. If the AO has been issued regarding a "program of investigations", proceed to Step #31.  |
| 30            | Program Scientist          | In accordance with NASA FAR Supplement Part 1872.405, develop a recommendation for selection of AO proposal(s) regarding an "optimum payload (for a single mission)" in the competitive range (Categories I and II) based upon categorization, program objectives, budget, and schedule. For a selection of investigations for some specific research opportunity (e.g., a specific mission), the recommendation chooses from among the Category I and II proposals those that best satisfy the stated science objectives, as constrained by the available budget. For a program like Explorer or Discovery, this recommendation is the list of <u>all</u> Category I and II proposals. |
| 31            | Program Scientist          | In accordance with NASA FAR Supplement Part 1872.405, prepare a list of all Category I and Category II AO proposals regarding a "program of investigations". This list serves as the Recommendation for Selection.  |
| 32            | Program Scientist          | Monitor the NPRS Contractor's providing of a binder containing the following information to each member of the SSSC: <ul style="list-style-type: none"> <li>• Final summary peer review evaluations</li> <li>• Minutes of the Categorization Subcommittee meeting</li> <li>• Recommendation for Selection</li> <li>• Draft notification letters of selected and non-selected AO proposals</li> <li>• Draft AO-selection press release</li> <li>• Draft AO proposal Selection Statement</li> <li>• Debriefing Plan</li> </ul>  |



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## **Subject: Announcement of Opportunity (AO) for Science Flight Missions**

### **6. PROCEDURE *(continued)***

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>  | <u>DESCRIPTION</u>   |
|---------------|---|--|
| 33            | Program Scientist<br>Senior Science Program Executive for Review and Evaluation<br>SSSC | <p>In accordance with NASA FAR Supplement Part 1872.406, the Program Scientist provides binders of AO information (including the final summary peer-review evaluations (generated at Step #26) and the Recommendation for Selection of AO proposal(s) (generated at Step #30 or Step #31)) to the SSSC.</p> <p>The SSSC serves as a review board to ensure the adequacy, completeness, and fairness of the review and that all regulations and procedures are followed in issuing the AO, conducting the peer review, and formulating a Recommendation for Selection. The SSSC ensures that the selection is based upon the merits of the submitted proposals and that the selection can withstand legal scrutiny. The Senior Science Program Executive for Review and Evaluation is the Chairperson of the SSSC. A candidate membership list of OSS science personnel for the SSSC is developed by the SSSC Chairperson, from which the Chairperson seeks a quorum (set at five, including the Chairperson).</p> <p>The Chairman of the SSSC produces a set of "findings" (which may include a Recommendation for Selection from the SSSC) that are then forwarded (with all supporting evaluation materials) to the Associate Administrator for Space Science.</p> |
| 34            |   | If any of the AO proposals involve foreign participation, proceed to Step #35. If not, proceed to Step #38.  |
| 35            | Program Scientist   | Provide the Recommendation for Selection and the findings of the SSSC review of the AO proposals to Code IS.   |
| 36            |   | If Code IS concurs upon the Recommendation for Selection and the findings of the SSSC review, proceed to Step #38. If not, proceed to Step #37.  |



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### **6. PROCEDURE *(continued)***

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>  | <u>DESCRIPTION</u>   |
|---------------|---|--|
| 37            | Program Scientist<br>Senior Science Program Executive for Review and Evaluation | Resolve the issues identified by Code IS, and repeat the review cycle at Step #35.   |
| 38            | Program Scientist   | Provide the binders of AO information (used by the SSSC members and augmented with the findings of the SSSC review of AO proposals) to the Associate Administrator for Space Science and any designated selection advisors.  |
| 39            | Associate Administrator for Space Science                                       | Based upon the final summary peer-review evaluations, the minutes of the Categorization Subcommittee meeting, and the SSSC findings, select the winning AO proposal(s) and create an AO Proposal Selection Statement in accordance with NASA FAR Supplement Part 1872.503. (The AO Proposal Selection Statement is the only artifact of this process that must be available to the public. All other artifacts are "pre-decisional" and therefore do not need to be released to the public.) |
| 40            | Associate Administrator for Space Science                                       | Inform the NASA Administrator of the planned AO proposal selection prior to public announcement of the selection.  |
| 41            |   | If any of the selected AO proposals involve foreign participation, proceed to Step #41.1. If not, proceed to Step #42.   |

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### 6. PROCEDURE *(continued)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u> |
|---------------|----------------------------|--------------------|
|---------------|----------------------------|--------------------|

#### **Code IS-Interface "Draft Notification Letter" Subprocess**

- |      |                   |   |
|------|-------------------|---|
| 41.1 | Program Scientist | <i>In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(2)(iii) and (b)(3)], NASA FAR Supplement Part 1872.304 [paragraph (c)], NASA FAR Supplement Part 1872.504, and an OSS-approved fundamental-dependency link with HOWI7100-I003, provide draft OSS notification letters of selected and non-selected AO proposals with foreign participation to Code IS (via Code HS) for review prior to sending the letters to the cognizant proposers and their foreign sponsors.</i> |
| 41.2 |                   | <i>If Code IS concurs with the content of draft OSS notification letters of selected and non-selected AO proposals with foreign participation, proceed to Step #42. If not, proceed to Step #41.3.</i>  |
| 41.3 | Program Scientist | <i>Revise the draft OSS notification letters of selected and non-selected AO proposals with foreign participation in accordance with issues raised by Code IS via its non-concurrence, and repeat the review cycle at Step #41.1.</i>   |

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### **6. PROCEDURE *(continued)***

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u>                                     | <u>DESCRIPTION</u>  |
|---------------|--|---|
| 42            | Program Scientist<br>Associate Administrator for Space Science | In accordance with NASA FAR Supplement Part 1872.304 [paragraph (c)], NASA FAR Supplement Part 1872.504, and NASA FAR Supplement Part 1872.505, the Program Scientist prepares and the Associate Administrator for Space Science signs the final notification letters of selected and non-selected AO proposals. These letters either include an offer to provide a debriefing of the reasons why a given proposal was selected or not selected, or incorporate a copy of the final summary peer-review evaluation for the proposal. The Program Scientist sends one of these letters to each AO proposal submitter (and to the foreign sponsor of any AO proposal with foreign participation). |
| 43            |  | If any OSS final notification letters of selected and non-selected AO proposals involve proposals with foreign participation, proceed to Step #44. If not, proceed to Step #45.   |
| 44            | Program Scientist  | In accordance with NASA FAR Supplement Part 1835.016-70 [paragraphs (b)(1) and (b)(3)], NASA FAR Supplement Part 1872.504 [paragraph (c)], and an OSS-approved fundamental-dependency link with HOWI7100-I003, provide to Code IS (via Code HS) a copy of OSS final notification letters of selected and non-selected AO proposals with foreign participation, a copy of selected AO proposals with foreign participation, and background information concerning the selected AO proposals with foreign participation.  |
| 45            | Program Scientist  | Issue a Press Release identifying the selected AO proposal(s).  |
| 46            | Program Scientist  | Establish an AO Program Records File consisting of all AO-related quality records listed in Section 7 of this Office Work Instruction (OWI).  |

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### 6. PROCEDURE *(concluded)*

| <u>STEP #</u> | <u>ACTION<br/>OFFICERS</u> | <u>DESCRIPTION</u>  |
|---------------|----------------------------|---|
| 47            | AA<br>Program<br>Scientist | <p>The Associate Administrator for Space Science sends an instruction to proceed with the program of the selected AO proposal(s), and the Program Scientist sends a copy of the AO Proposal Selection Statement, a copy of the Notification Letter(s) of Selected AO Proposal(s), and the original(s) of the selected AO proposal(s) to the NASA Center responsible for implementing the program.</p> <p>The Program Scientist attends the initial all-hands program-initiation meeting to transfer responsibility to the Program Office for implementing the AO.</p> |
| 48            | Program<br>Scientist       | <p>In response to requests received from non-selected AO proposers, provide a debriefing to each of them of the reasons for their not being selected, in accordance with NASA FAR Supplement Part 1872.505 and the Debriefing Plan.</p>   |

*This process is concluded by the implementation of a new program resulting from an AO.*

### 7. QUALITY RECORDS

| RECORD IDENTIFICATION                                  | OWNER                                       | LOCATION                  | MEDIA: ELECTRONIC OR HARDCOPY | NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER | RETENTION/ DISPOSITION   |
|--|---|---------------------------|-------------------------------|--|--|
| AA-signed Authorization to Proceed with AO Development | Code SR<br>Program<br>Support<br>Specialist | Code SR<br>Division Files | Hardcopy                      | Schedule 7,<br>Item 8                      | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |

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### 7. QUALITY RECORDS *(continued)*

| RECORD IDENTIFICATION  | OWNER                              | LOCATION               | MEDIA: ELECTRONIC OR HARDCOPY | NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER | RETENTION/ DISPOSITION   |
|--|------------------------------------|------------------------|-------------------------------|--|--|
| Signed AO Concurrence Sheet  | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 8                         | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |
| Signed Announcement of Opportunity (AO)                            | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 8                         | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |
| Signed NPG 7120.5 Certification                                    | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 8                         | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |
| Copy of GSFC-published <i>Commerce Business Daily</i> (CBD) Notice | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 8                         | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |
| Copy of E-mail Notification to OSS Subscribers                     | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 8                         | Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file. |
| Membership of Categorization Subcommittee                          | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 9B1                       | File with related case file (grant or contract); destroy accordingly.  |
| Membership of SSSC   | Code SR Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 9B1                       | File with related case file (grant or contract); destroy accordingly.  |

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### 7. QUALITY RECORDS *(concluded)*

| RECORD IDENTIFICATION  | OWNER                                 | LOCATION               | MEDIA: ELECTRONIC OR HARDCOPY | NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER | RETENTION/ DISPOSITION   |
|--|---------------------------------------|------------------------|-------------------------------|--|--|
| Final Summary Peer Review Evaluations  | Code SR<br>Program Support Specialist | SYS-EYFUS Database     | Electronic                    | Schedule 7, Item 9A1                       | File documentation with the related grant or contract file; destroy accordingly. |
| Minutes of Categorization Subcommittee Meeting                               | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 9B1                       | File with related case file (grant or contract); destroy accordingly.            |
| Minutes of SSSC Meeting  | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 9B1                       | File with related case file (grant or contract); destroy accordingly.            |
| SSSC Findings  | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 7, Item 9B1                       | File with related case file (grant or contract); destroy accordingly.            |
| AO Proposal Selection Statement  | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 5, Item 14A                       | Destroy with related contract case file (see Item 1 of this schedule).           |
| Copy of Selected-AO Proposal(s)  | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 5, Item 14A                       | Destroy with related contract case file (see Item 1 of this schedule).           |
| Copy of final notification letters of selected and non-selected AO proposals | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 5, Item 14A                       | Destroy with related contract case file (see Item 1 of this schedule).           |
| Copy of Instruction to Proceed with Program of Selected AO Proposal(s)       | Code SR<br>Program Support Specialist | Code SR Division Files | Hardcopy                      | Schedule 5, Item 14A                       | Destroy with related contract case file (see Item 1 of this schedule).           |

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]